

LIFE SETTLEMENT PROVIDERS

REQUIRED FILINGS IN THE STATE OF: CALIFORNIA

Filings Made During the Year 2014

(1) Check- list	(2) Line #	(3) REQUIRED FILINGS	(4) NUMBER OF COPIES	(5) CA Required Electronic Filing Format (.PDF, .XLS)	(6) DUE DATE	(7) FORM SOURCE	(8) APPLICABLE NOTES
			CA Domestic & Foreign				
		I. FINANCIAL STATEMENTS					
	1	Life Settlement Provider Annual Statement (8 ½" x 14")	1	PDF (Signed) & XLS Original signature page(s) required	3/1	CA	FAD201 A, B
	2	Audited Financial Report	1	PDF	3/1	Company	FAD220 A, B

GENERAL INSTRUCTIONS

Contact Information

For questions regarding filings, please contact Financial Records Unit at (213)346-6423/Financial_Records@insurance.ca.gov or visit the California Department of Insurance (“CDI”) website at: <http://www.insurance.ca.gov>.

Submission

All electronic filings must be made via the Online Assistance System for Insurer Submittals (“OASIS”). For documents requiring original signature(s)/certification/notarization, the electronic PDF file must contain the required signature(s)/certification/notarization.

All original signature pages must be mailed to:

California Department of Insurance
Financial Analysis Division, Financial Records Unit
300 South Spring Street, South Tower, 13th Floor
Los Angeles, CA 90013

Original Signatures and Signature/Notarization/Certification

Refer to California Insurance Code Section (“CICS”) 903 and CICS 903.5 for guidance. For signature(s), please use BLUE INK.

Note: As of January 1, 2008, all documents notarized in the state of California must comply with Section 8202 of the Government Code and Section 1185 of the Civil Code in reference to establishing an affiant’s identity.

Amended Filings

Amended items must be filed timely. If there are signature requirements for the original filing, same should be followed for any subsequent amendment. Please contact Financial Records Unit at (213) 346-6423 or Financial_Records@insurance.ca.gov prior to submitting any amendment via OASIS.

Request for Extension to File

Please refer to applicable California Insurance Code (“CIC”) or California Code of Regulations (“CCR”) for guidance. Unless otherwise specified in the CIC or CCR, the request must be received by the Department at least 30 days prior to the filing due date. Please e-mail your request directly to the Financial Records Unit at Financial_Records@insurance.ca.gov.

Column (1)	Checklist
	Place an “x” in this column when mailing information to the state.
Column (2)	Line #
	Line # refers to a standard filing number used for reference only. This line number may change from year to year.
Column (3)	Required Filings
	Name of form or document to be filed.
Column (4)	Number of Copies
	Indicates the number of copies that each foreign or domestic company is required to file for each type of form.
Column (5)	CA Required Electronic Filing Format
	Adobe PDF (PDF) For document requiring original signature(s)/certification/notarization, the PDF file must contain the required signature(s)/certification/notarization.
	MS Excel (XLS) For document requiring an Excel version, the related form is provided on our Website. The Excel version does not require signature(s)/certification/notarization.

- Column (6)

Due Date

Indicates the date on which the company must file the form.
- Column (7)

Form Source

- CA = CDI will prescribe the forms with the filing instructions.
 - Company = Company, or its representative is expected to provide the form.
- Column (8)

Applicable Notes

This column contains references to the Notes that apply to each item listed on the checklist. It also contains the CDI form numbers (in red) for reference only.

NOTES

A	Audited Financial Statement	<p>Pursuant Title 10, California Code of Regulations, Section 2548.14, all providers must file an Audited Financial Statement. This report must be filed online as an attachment to the Annual Statement in PDF format. The Annual Statement filing will be considered incomplete if the Audited Financial Statement is not included in the submission.</p> <p><u>Authorized Providers</u> For those providers filing California life settlement applications by September 1, 2010 and deemed to authorize to transact life settlement business while their applications are pending, CDI requests the filing of a 2012 audited financial statement only.</p>
B	CA Company Code	<p>The CA Company Code is available in OASIS and on the CDI website at: http://www.insurance.ca.gov.</p>